

STATE OF MAINE

Maine Health Data Organization

RFP # 201207352

Health Data Warehouse

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From the time this RFP is issued until award notification is made, all contact with the State regarding this RFP must be made through the aforementioned RFP Coordinator. No other person / State employee is empowered to make binding statements regarding this RFP. Violation of this provision may lead to disqualification from the bidding process, at the State's discretion.

Bidders' Conference:	1:00 p.m., August 2, 2012 Board Room Maine Health Data Organization 151 Capitol Street Augusta, Maine 04333-0102 or by calling 877-455-0244 (Conference Code 7281882859)
Deadline for Submitted Questions	August 8, 2012, 5:00 p.m. local time
Proposals Due	August 27, 2012 not later than 2:00 p.m. local time
Due to	Division of Purchases Burton M. Cross Building, 4 th Floor, 111 Sewall Street 9 State House Station, Augusta ME 04333-0009

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PUBLIC NOTICE

State of Maine

Maine Health Data Organization

Public Notice for RFP #201207352

Health Data Warehouse

The State of Maine's Maine Health Data Organization has a requirement for a highly robust and secure data warehouse with:

- an efficient extract, transform, load (ETL) architecture that can support high-volume imports of multiple data files in multiple formats at rapid speeds and
- a set of common data structures that used across the data streams and externally available for 3rd parties and
- a self-service architecture to support web access to raw data sets, generated queries, and higher-level standard reports based on the data held in the data warehouse (via web services, etc.).

In accordance with State procurement practices, MHDO is hereby announcing the publication of a Request for Proposals (RFP) #201207352 for the purchase of the aforementioned services.

A copy of the RFP can be obtained by contacting MHDO's RFP Coordinator for this project: Karynlee Harrington, Acting Executive Director. The RFP Coordinator can be reached at the following email address: linda.adams@maine.gov or mailing address: 102 State House Station, 151 Capitol Street, Augusta, Maine 04333-0102. MHDO encourages all interested vendors to obtain a copy of the RFP and submit a competitive proposal.

A Bidders' Conference will be held on Thursday, August 2, 2012 at 1:00 p.m. in the Board Room at the Maine Health Data Organization, 151 Capitol Street, Augusta, Maine 04333-0102 or by calling 877-455-0244 (Conference Code 7281882859). Attendance at the Bidders' Conference is optional.

Proposals must be submitted to the State of Maine Division of Purchases, located at the Burton M. Cross Office Building, 111 Sewall Street, 4th Floor, 9 State House Station, Augusta, Maine, 04333-0009. Proposals must be submitted by 2:00pm, local time, on August 27, 2012 when they will be opened at the Division of Purchases' aforementioned address. Proposals not received at the Division of Purchases' aforementioned address by the aforementioned deadline will not be considered for contract award.

State of Maine – Maine Health Data Organization

RFP # 201207352

Maine Health Data Warehouse

PART I INTRODUCTION

A. PURPOSE AND BACKGROUND

The Maine Health Data Organization (MHDO) is seeking proposals from qualified vendors to provide a highly robust and secure data warehouse as defined in this Request for Proposals (RFP) document. This document provides instructions for submitting proposals, the procedure and criteria by which the Provider(s) will be selected, and the contractual terms which will govern the relationship between the State of Maine (“State”) and the awarded Bidder(s).

MHDO was established by the Maine Legislature in 1996 as an independent executive agency responsible for the collection of clinical and financial health care information. The organization is required to exercise responsible stewardship in making this information accessible to the public. MHDO is governed by a twenty-one member board that represents a broad range of stakeholders including health care providers, payers and consumers.

MHDO’s governing statute, 22 M.R.S. § 8701 *et seq*, can be found here:

<http://www.mainelegislature.org/legis/statutes/22/title22ch1683sec0.html>

MHDO’s promulgated rules can be found here: <http://mhdo.maine.gov/imhdo/rules.aspx>

MHDO created the nation’s first All Payer Claims Database (APCD) and has been collecting claims data since 2003. MHDO collects medical, dental and pharmacy claims data from commercial carriers, Third Party Administers (TPA), Pharmacy Benefit Managers (PBM), as well as Medicare and Medicaid. Maine has ninety-two commercial payers and two public payers currently submitting data.

In addition to collecting claims data, Maine was one of the first states to develop a database of hospital inpatient records, including all patients discharged from its acute care and psychiatric hospitals. The collection of hospital inpatient data since 1980 makes Maine's hospital inpatient database one of the most useful in the country for the study of long-term trends in disease and utilization patterns. Maine also has a complete hospital outpatient database and has been collecting data for every visit and all services provided since 1992.

MHDO also collects emergency department, hospital quality, and financial data.

Currently claims data collected by MHDO are processed by the Maine Health Data Processing Center (MHDPC), a unique public private partnership created by legislation. The current contract for the MHDPC is held by Onpoint Health Data. The contract expires December 31, 2012.

This RFP describes the requirement MHDO has for a highly robust and secure data warehouse which will include:

- an efficient extract, transform, load (ETL) architecture that can support high-volume imports of multiple data files in multiple formats at rapid speeds and
- a set of common data structures that are used across the data streams and externally available for 3rd parties and
- a self-service architecture to support web access to raw data sets, generated queries, and higher-level standard reports based on the data held in the data warehouse (via web services, etc.)

B. GENERAL PROVISIONS

1. Issuance of this RFP does not commit MHDO to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to this RFP. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
2. All proposals should adhere to the instructions and format requirements outlined in this RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by MHDO. Proposals are to follow the format and respond to all questions and instructions specified below in the “Proposal Submission Requirements and Evaluation” section of this RFP.
3. Bidders shall take careful note that in evaluating a proposal submitted in response to this RFP, the MHDO shall only consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal MHDO information of previous contract history with the Bidder (if any). The proposal shall be signed by a person authorized to legally bind the Bidder and shall contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.
4. The RFP and the selected Bidder’s proposal, including all appendices or attachments, will be incorporated in the final contract.
5. Following announcement of an award decision, all submissions in response to this RFP will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 *et seq.*). If a Bidder submits materials that it claims are confidential because they are not “public records” pursuant to FOAA, the Bidder must (1) conspicuously and precisely designate those particular portions of its materials as “confidential” and (2) provide the specific statutory or other legal basis that excepts the designated materials from FOAA’s definition of “public record.” (See 1 M.R.S. § 402; <http://www.maine.gov/foaa/law/exceptions.htm>.) A Bidder’s confidential designation does not ensure nondisclosure of the material; the State shall determine

whether submitted materials are “public records.”

6. MHDO, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to this RFP.

C. ELIGIBILITY TO SUBMIT BIDS

Public agencies, private for-profit companies, and non-profit companies and institutions are invited to submit bids in response to this Request for Proposals.

D. CONTRACT TERM

MHDO is seeking a cost-efficient proposal to provide services, as defined in this RFP, for the anticipated contract period defined in the table below. Please note that the dates below are estimated and may be adjusted as necessary in order to comply with all procedural requirements associated with this RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

Contract Renewal: Following the initial term of the contract, MHDO may opt to renew the contract for eight renewal periods of one year each, subject to continued availability of funding and satisfactory performance.

The term of the anticipated contract, resulting from this RFP, is defined as follows:

Period	Start Date	End Date
Initial Period of Performance	October 1, 2012	June 30, 2014
Renewal Period #1	July 1, 2014	June 30, 2015
Renewal Period #2	July 1, 2015	June 30, 2016
Renewal Period #3	July 1, 2016	June 30, 2017
Renewal Period #4	July 1, 2017	June 30, 2018
Renewal Period #5	July 1, 2018	June 30, 2019
Renewal Period #6	July 1, 2019	June 30, 2020
Renewal Period #7	July 1, 2020	June 30, 2021
Renewal Period #8	July 1, 2021	June 30, 2022

E. NUMBER OF AWARDS

MHDO anticipates making one award as a result of this RFP process. However, MHDO reserves the right to make one or multiple awards, whichever is in the best interests of the State, as a result of this RFP process.

PART II SCOPE OF SERVICES

DATA STREAMS

MHDO currently manages four separate data streams relating to health care delivery and payments in the State of Maine.

- 1) Claims – the All Payer Claims Database (APCD) - Chapter 243**
- 2) Hospital Inpatient / Outpatient - Chapter 241**
- 3) Hospital Financial and Organizational - Chapters 300 and 630**
- 4) Quality Metrics - Chapter 270**

The data are broadly described in 22 M.R.S. § 8701 *et seq*

(<http://www.mainelegislature.org/legis/statutes/22/title22ch1683sec0.html>) and more specifically described in Rules (<http://mhdo.maine.gov/imhdo/rules.aspx>) promulgated by the Agency.

CURRENT STATE

MHDO currently manages its data streams with segregated processes and distinct technology toolsets. Bidders can find a more detailed description of the organization's current technical and organizational structure in the Deloitte report commissioned by the Agency and referenced in the documentation section of this RFP.

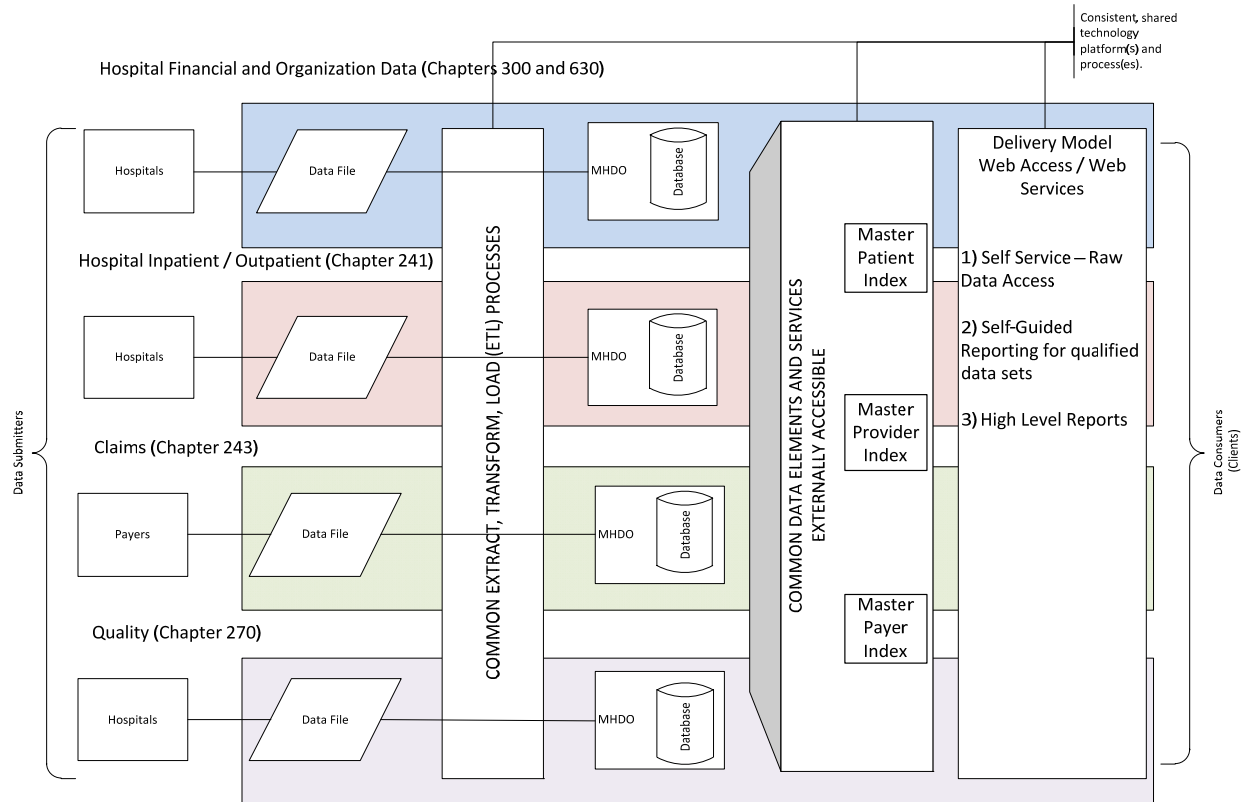
PLANNED TECHNICAL ARCHITECTURE

OVERVIEW

The MHDO needs to function as a highly robust and secure data warehouse with:

- an efficient extract, transform, load (ETL) architecture that can support high-volume imports of multiple data files in multiple formats at rapid speeds and
- a set of common data structures that are used across the data streams and externally available for 3rd parties and
- a self-service architecture to support web access to raw data sets, generated queries, and higher-level standard reports based on the data held in the data warehouse (via web services, etc.)

MHDO Data Streams and Infrastructure – Proposed Future State



DATA GOVERNANCE

As a part of the development of the Health Data Warehouse the successful vendor will be responsible for working with the MHDO in establishing a data governance policy for the overall design and management of the data contained within the warehouse. The data governance should include, at a minimum, a comprehensive data dictionary and detailed descriptions of roles, authorization levels, access protocols, and retention policies.

ETL

The MHDO seeks a uniform ETL platform across its various data streams. From a data submitter perspective, the ETL platform should be an online portal that allows for the upload of properly formatted and identified files from authenticated users. The ETL platform should provide immediate detailed feedback to submitters regarding formatting and data integrity issues as defined by the MHDO. From the MHDO's perspective, the ETL platform should be a configurable data validation and upload (to warehouse) mechanism.

EDITS / BUSINESS RULES ENGINE

The ETL platform must allow the MHDO to define file validation routines (“edits”) per file type across multiple levels:

- a. **Formatting:** edits to ensure each data element is syntactically correct (e.g., dates appear as YYYYMMDD if so defined, integers do not include decimals, numeric fields do not include alphas, not nulls are not null, etc.) and that all required data elements are present and in the correct position.
- b. **Content legitimacy:** edits to ensure that data contained in elements meets the content definition of the field (e.g., a CPT code is actually a valid CPT code, a date is date, zip codes are valid, etc.)
- c. **Business logic and quality validation:** edits to ensure data elements are sensible from a defined business perspective (e.g., inpatient records have ICD-9 codes, outpatient have CPT codes, etc.)

The platform should allow the MHDO to characterize edits as binary (either correct or wrong) or as threshold values (exceed / not reach a value) and as a failure or a warning. These edits should be configurable by non-technical staff (i.e., not require coding changes). Data submitters should be able to override warnings but not failures. When warnings are overridden the ETL should record the override information as part of the meta-data held in the warehouse about specific uploads.

It is critical that the MHDO have direct control over these edits and their parameters, and that bidders not consider solutions where file validations are in any way “hard-coded” into the system.

NON-STRUCTURED DATA

Data submitters must be able to upload supporting documentation in non-structured formats, e.g., pdf documents, scanned images, etc.

ERROR REPORTING / RESUBMISSIONS

As described above, the ETL platform should process its file validation routines in real time and provide immediate feedback to data submitters via the online portal, thereby enabling submitters to immediately correct errors and resubmit.

MANUAL / AD HOC UPLOADS

MHDO staff must be able to map and upload files that contain the appropriate data elements but do not necessarily meet the specifications defined in the rule Chapters. This functionality is a specific requirement for Medicare data, which comes in a federally defined format. In addition, this functionality should be available to staff in cases where data sets become available to the organization from unanticipated sources.

STORAGE COMPONENT

RELATIONAL DATABASE

The warehouse should be a relational database built in one of the industry standard software platforms (e.g., SQL Server, Oracle, MySQL) that follows best practices in terms of referential integrity, constraints, index structure, normalization, etc.

AD HOC REPORTING

It is critical that MHDO staff have direct, table level access to the warehouse in order to directly run ad hoc queries against the data set (if this needs to be accommodated through a separate data store for performance reasons that is acceptable).

BACKUPS

The warehouse must maintain, for a 12 month period, back-up copies of all source data uploaded by data submitters. Further source data retention policies should be defined as part of the data governance development.

Vendors must commit to a 24 hour downtime policy, i.e., in case of system disaster fully functional contingency systems can be brought online within 24 hours.

DATA MIGRATION / ARCHIVE

The warehouse should include a migration path for historical data to be archived in a separate data store to allow for performance improvements in the live warehouse. For example, the MHDO may determine that only five years of data will be available through the self-service access platform, in which case data older than five years would be moved into the separate store.

Data in the archive store should be available for query and extract through standard database tools.

COMMON DATA STRUCTURES

The MHDO envisions the portion of its overall data warehouse solution that contains shared data objects as residing in an external, web service based architecture. This external architecture will allow other interested 3rd parties to leverage the common data contained within this structure. Multiple entities within the state have need of Master Patient, Master Provider, and Master Payer Indexes. By structuring these components in an open, web service based model, the MHDO hopes to create a shared utility that will provide value for multiple entities throughout the state.

Bidders, therefore, are instructed to bid on this portion of the technical architecture by either describing how they would create and maintain these resources in this fashion, or how they would leverage an existing resource that provides these capabilities.

Web service interactions between these public components and other systems are achieved through real time, XML based SOAP or REST type transactions.

MASTER PATIENT

Consistent, accurate, historical, and current demographic data on the patients reported across the claims, inpatient/outpatient, and other data streams. The patient is assigned a unique identifier that is used to refer to this patient across the enterprise. The objective is to ensure that each patient is represented only once across all streams.

MASTER PROVIDER

Consistent, accurate, historical, and current demographic data on the medical providers reported across the claims, inpatient/outpatient, and other data streams. The Master Provider Index must include the National Provider Identifier (NPI). The objective is to ensure that each provider is represented only once across all streams.

MASTER PAYER

Consistent, accurate, historical, and current demographic data on the payers (insurance companies, third party administrators, etc.) reported across the claims, inpatient/outpatient, and other data streams. The Master Payer Index must include the NAIC (where applicable) and/or the entities' federal EIN. The objective is to ensure that each payer is represented only once across all streams.

SELF-SERVICE DATA ACCESS

The MHDO wishes to provide data consumers with multiple methods for accessing **releasable** data from the warehouse. Note that not all data that the MHDO collects are releasable and some data are releasable only under specific circumstances. All of the access methods described below must allow MHDO to configure which data elements can be provided under different circumstances and authorization levels, consistent with the data governance policy established as part of this effort.

WEB SERVICES

The warehouse should provide a set of publically available web service APIs that would allow interested parties to configure their systems to directly access the MHDO warehouse via SOAP or REST protocols.

RAW DATA DOWNLOADS

Via the online portal, data requestors should be able to download defined "raw" data sets (e.g., all claims by year) in multiple formats (e.g., Excel, ASCII text delimited, XML, etc).

SELF-GENERATED QUERIES

Via the online portal, data requestors should be able to generate (and download) limited data sets / reports based on defined parameters.

STATIC REPORTS

Via the online portal data requestors should have access to predefined and generated reports from the MHDO.

SECURITY

Data elements that could be used to identify an individual (e.g., SSN, name, DOB) must be encrypted both in transit and at rest in the warehouse. The ETL platform therefore must hash (e.g., SHA-512, salted or more secure) direct subscriber/member identifier data elements prior to transmission and upon receipt, must encrypt (following best practices with 3DES utilizing two hashed complex keys) the elements that were hashed prior to transmission. From a data submitter perspective this should be transparent, i.e., just part of the file upload.

The warehouse must meet specific state and Federal security standards, as some data (Medicare) contained within the warehouse are governed under Data Use Agreements between MHDO and the Centers for Medicare and Medicaid (CMS). These standards and the Data Use Agreement (DUA) are contained in the RFP reference section. The successful bidder will need to adhere to the provisions of MHDO's DUA with CMS.

ONLINE DESIGN

For those aspects of the warehouse that leverage online functions (data submissions and data requests) the design pattern for the web pages must separate presentation logic from application/business logic from data (e.g., Model-View-Controller, Model-View-Presenter, Presentation-Abstraction-Control, etc.).

CLOUD DEPLOYMENT

The MHDO intends the warehouse to be hosted outside of the State infrastructure on a cloud based system. Bidders will need to provide detailed information on their cloud computing strategies and support structures, including costs.

Vendors must commit to a 24 hour downtime policy, i.e., in case of system disaster fully functional contingency systems can be brought online within 24 hours.

Vendors must commit to maintaining the physical servers that make up their cloud computing infrastructure within the continental United States.

ENVIRONMENTS

The successful vendor must maintain all the development and test environments within their cloud computing infrastructure.

ADMINISTRATIVE AND MISCELLANEOUS FUNCTIONS

META-DATA

The warehouse must maintain information about the ETL processing (e.g., submitters, number of submissions, source files, warnings overridden, etc.) and data consumer requests (data requestor, data requested, etc.). These meta-data will serve to both provide security and usage reports and will specifically enable data consumers to have a more detailed understanding of the data they have downloaded relative to what is included and why or why not.

DASHBOARD

The warehouse must provide high order analytics in real time to MHDO staff, including number of authorized submitters, number of authorized consumers, weekly statistics on uploads and downloads, overall server load, total storage used, etc.

OPERATIONAL FUNCTIONS

The warehouse must have facilities to allow MHDO staff to add / remove authorized submitters, add /remove authorized consumers, and to add / remove administrators and other defined user types.

CHANGE MANAGEMENT

The successful vendor must establish a defined change management process for the development, testing, and deployment of changes to the warehouse. The change management process should be based on the developed data governance model.

DOCUMENTATION

The successful vendor must create and maintain documentation that allows MHDO staff to operate and support the system and allows for the potential transfer of operations to another vendor in the future. Specifically, the vendor must produce:

USER GUIDE

This documentation is meant for MHDO staff responsible for developing and implementing edits and business rules that govern the ETL process and for creating and supporting the reports and queries underlying the self-service access to the warehouse. This documentation should include, but not be limited to, screenshots of GUI tools, descriptions of workflows, business case walk-throughs, etc.

TECHNICAL DOCUMENTATION

This documentation is meant for MHDO staff responsible for system support. This documentation should include, but not be limited to, descriptions of the technologies and version used in the warehouse, ERD diagrams of the underlying data structures, table and index descriptions, network topology diagrams, source code, etc.

PROJECT MANAGEMENT

Vendors should submit their project plan based on Agile methodology. Agile development calls for rapid development and prototyping in a series of short time iterations (typically 2-4 weeks). Agile methodology has the following core concepts:

- **Individuals and interactions** over processes and tools
- **Working software** over comprehensive documentation
- **Customer collaboration** over contract negotiation
- **Responding to change** over following a plan¹

Agile methodology calls for significant business user engagement throughout the development lifecycle, typically pairing a business user with a programmer to allow immediate feedback and reaction to new development. It is **incremental** and **iterative**, as opposed to an “all-at-once” delivery model.

The State anticipates the successful vendor will need to provide and maintain five key documents throughout lifecycle of the project:

Stories - This document captures the use cases and specific business requirements for the warehouse. In an Agile development model, these are typically presented as “user stories” – smaller, less formal presentations of user requirements. The Stories document will form the basis of the development efforts throughout the project.

Design Reference (Standards) - This document is meant to capture the standards (e.g., naming conventions, data types, entity modeling) that developers will use while deploying specific user stories. This document is not meant to be a “design document” in a traditional (waterfall) sense that captures all the technical specifications of the planned system, but rather a description of those attributes that will be common to all developed code.

Project Management Plan - The project management document is meant to capture the prioritization of stories, estimated iteration for deploying the story, needed resources for deployment, and overall timing of the project.

Risk Identification and Mitigation - The risk identification and mitigation document must detail potential risks to the State during the development and deployment of the warehouse and steps that the State and the Vendor can take to temper these risks.

¹ See the “Manifesto for Agile Software Development” <http://agilemanifesto.org/>

Deployment and Contingency Plan - The deployment and contingency plan describes the steps required to move the working software into a production environment. The document must also clearly identify fallback positions the state can take in the event of a production migration failure.

STAGED BUILD, CONVERT, & OPERATE EFFORT

MHDO currently maintains separate data stores for each of the data streams described in this RFP. In some cases these data stores are SQL Server data bases with over a terabyte of information, in some cases simple collections of spreadsheets and/or unstructured information kept on secure file systems.

The successful vendor must work with the MHDO to convert these data into the new warehouse structure.

Given the size of the conversion and the overall priorities of the MHDO, we are proposing a staged build, convert, and operate process:

Phase	Period	Description
1	October 2012 – June 2014	Build of claims database, ETL platform, common element architecture, and self-service data access platform.
1.A	October 2012 – June 2014	Warehouse and ETL
1.B	October 2012 – June 2014	Conversion of claims data
1.C	October 2012 – June 2014	Common element
1.D	October 2012 – June 2014	Self-service data access platform
2	July 2014 – June 2015	Hospital Inpatient and Outpatient conversion APCD operations
3	July 2015 – June 2016	Hospital Quality, Financial, and Organizational data conversion APCD operations Hospital Inpatient / Outpatient Operations
4	July 2016 – June 2017	Operations only
5	July 2017 – June 2018	Operations only
6	July 2018 – June 2019	Operations only
7	July 2019 – June 2020	Operations only
8	July 2020– June 2021	Operations only
9	July 2021– June 2022	Operations only

This sequence will allow the MHDO to bring the critical functionality of the system live first (ability to accept and store claims data by February 28, 2013) and then to integrate historical data and other data streams in a methodical, planned fashion.

ROLES AND RESPONSIBILITIES OF THE VENDOR AND MHDO

While the MHDO expects that the vendor and staff from the Agency will define formal roles, authorization levels, and responsibilities during data governance development, part of this definition should include vendor and MHDO authorization levels and authorities for access to test and production environments. In general MHDO staff should have query access to production environments and full access to test environments.

TRAINING

The successful vendor will be responsible for up to twenty (20) hours of System Administrator / Technical classroom training on the following architecture topics:

- Hardware and software components
- System architecture
- Network design
- Activities needed to operate and maintain the system
- Management and operation of the system interfaces
- System security
- System monitoring and troubleshooting
- System administration and monitoring tools
- System documentation

The successful vendor will be responsible for up to twenty (20) hours of System Administrator / Technical classroom training on the following architecture topics:

- Database design
- Entities / relationships
- Views
- Database rules
- Database monitoring and troubleshooting
- Database documentation
- Database tools

The Vendor shall provide up to twenty (20) hours of System Administrator / Technical classroom training on the following application architecture topics (as applicable):

- Application design
- Application components
- Standards used
- Navigation methods
- Application interfaces
- Troubleshooting
- Documentation provided
- Application development / configuration tools

The Vendor shall provide twenty (20) hours of System Administrator / Technical classroom training on the following maintenance and operations topics:

- User account setup and maintenance
- Administering and maintaining the system (including code tables, system constants, parameters, and system settings)
- General application troubleshooting
- Diagnosing user-reported errors
- Diagnosing system errors
- Interface and data exchange monitoring and troubleshooting
- Regression test suite and test tools
- Migrating new code releases to production
- Integrating, troubleshooting, and upgrading versions of third-party tools (if applicable)
- Adding capacity and / or expanding the database and document repository to account for growth and increased user base
- Creation of ad hoc reports
- Exporting data for additional reports
- Audit log and solution log review and maintenance
- Reviewing and interpreting system logs and monitoring data
- Archiving data and logs

If third-party COTS tools are required for maintenance and operation of the system (e.g., third party workflow and notification tools), the Vendor shall include these products in the technical training curricula.

No less than ten (10) calendar days and no more than forty-five (45) calendar days prior to deployment of

each system release subsequent to initial training sessions, the Vendor shall provide eight (8) hours of System Administrator / Technical class room training to help MHDO staff on the following topics:

- Content of the System Release and Affected Areas of the System
- Corrections Since the Last Release (e.g., bug fixes)
- Debugging Tips and Considerations

ONGOING OPERATIONS

The successful vendor will be responsible for operations and maintenance throughout the life of the contract, including:

- a. Updates, patches and repairs to components of the production, test and all other warehouse accessible environments including but not limited to:
 - i. Hardware
 - ii. Operating systems
 - iii. Database systems
 - iv. Application and other software
 - v. Utilities for systems, database, software, communications
 - vi. Communications software
 - vii. Drivers
 - viii. Configurations
- b. Correction (including development, testing, training and implementation) of any of the following:
 - i. Deficiency or problem with the application functionality of the warehouse
 - ii. Deficiency or problem with the functionality of subsequent system enhancements

SERVICE LEVEL AGREEMENTS

MHDO will establish customer-based and service-based service level agreements (SLA) with the successful vendor. The SLA(s) will establish an understanding about services, priorities, responsibilities, guarantees, and warranties. The SLA will specify the levels of security, availability, serviceability, performance, operation, and other attributes of service as deemed appropriate. The SLA will be established to provide the MHDO with a measurable target that shows the level of the vendor's performance. The SLA will include penalties which will be agreed upon by the parties in the case of non-compliance of the SLA.

BUDGET

The MHDO's annual budget is based on revenue and expenditures as described in 1 M.R.S. § 8706 <http://www.mainelegislature.org/legis/statutes/22/title22sec8706.html>. Bidders should present their proposed costs for build and operations of the data warehouse based on the staged schedule described above.

PART III KEY RFP EVENTS

A. TIMELINE OF KEY RFP EVENTS

Event Name	Event Date and Time
Bidders' Conference (optional)	August 2, 2012 at 1:00pm, local time
Due Date for Receipt of Written Questions	August 8, 2012 at 5:00pm, local time
Due Date for Receipt of Proposals	August 27, 2012 at 2:00pm, local time
Oral Presentations	Week of September 3, 2012
Estimated Contract Start Date (subject to change)	October 1, 2012

B. BIDDERS CONFERENCE

MHDO will sponsor a Bidders' Conference concerning this RFP beginning at the date and time shown in the timeline above. The Bidders' Conference will be held in the Board Room of the Maine Health Data Organization located at 151 Capitol Street, Augusta, Maine 04333-0102 or by calling 877-455-0244 (Conference Code 7281882859).

The purpose of the Bidders' Conference is to answer and/or field questions, clarify for potential Bidders any aspect of the RFP requirements that may be necessary and provide supplemental information to assist potential Bidders in submitting responses to the RFP. Although attendance at the Bidders' Conference is not mandatory, it is strongly encouraged that interested Bidders attend.

C. QUESTIONS

1. General Instructions

- a. It is the responsibility of each Bidder to examine the entire RFP and to seek clarification in writing if the Bidder does not understand any information or instructions.
- b. Questions regarding the RFP must be submitted in writing and received by the RFP Coordinator as soon as possible but no later than the date and time specified in the timeline above.
- c. Questions may be submitted by e-mail, fax or regular mail. If faxed, please be sure to include a cover sheet addressed to the RFP Coordinator listed on the cover of this RFP, and indicate the number of pages sent. The Department assumes no liability for assuring accurate/complete fax or e-mail transmission and receipt.
- d. Include a heading with the RFP Number and Title. Be sure to refer to the page number and paragraph within this RFP relevant to the question presented for clarification, if applicable.
- e. Send written questions to the RFP Coordinator listed on the cover page of this RFP document.

2. **Written Questions Due:** Written questions must be received by the RFP Coordinator no later than 5:00 p.m. local time on the date shown in the timeline above. No questions will be accepted after this time.

3. Summary of Questions and Answers

Responses to all substantive and relevant questions will be compiled in writing and distributed to all registered, interested persons by e-mail no later than seven (7) calendar days prior to the proposal due date. Only those answers issued in writing by the RFP Coordinator will be considered binding. The Department reserves the right to answer or not answer any question received.

D. SUBMITTING THE PROPOSAL

1. **Proposals due:** Proposals must be received no later than 2:00 p.m. local time, on the date listed in the timeline above, at which point they will be opened. Proposals received after the 2:00 p.m. deadline will be rejected without exception.

2. Mailing/Delivery Instructions

PLEASE NOTE: The proposals are not to be submitted to the RFP Coordinator at the requesting Department. The official delivery site is the State of Maine Division of Purchases (address shown below).

- a. Only proposals received at the official delivery site prior to the stated deadline will be considered. Bidders submitting proposals are responsible for allowing adequate time for delivery. Proposals received after the 2:00 p.m. deadline will be rejected without exception. Postmarks do not count and fax or electronic mail transmissions of proposals are not permitted unless expressly stated in this RFP. Any method of hardcopy delivery is acceptable, such as US Mail, in-person delivery by Bidder, or use of private courier services.
- b. The Bidder must send its proposal in a sealed package including one **original and six copies** of the complete proposal. Please clearly label the original. One electronic copy of the proposal must also be provided on CD or flash drive with the complete narrative and attachments in MS Office formats (Word, Excel, PowerPoint, Visio, and Project). Any attachments that cannot be submitted in these formats may be submitted as Adobe (.pdf) files.
- c. Address each package as follows (and be sure to include the Bidder's full business name and address as well as the RFP number and title):

Bidder Name/Return Address

Division of Purchases

Burton M. Cross Building, 4th Floor

111 Sewall Street

9 State House Station

Augusta ME 04333-0009

Re: RFP # 201207352

PART IV PROPOSAL SUBMISSION REQUIREMENTS

This section contains instructions for Bidders to use in preparing their proposals. The Bidder's proposal must follow the outline used below, including the numbering and section and sub-section headings as they appear here. Failure to use the outline specified in this section or to respond to all questions and instructions throughout this document may result in the proposal being disqualified as non-responsive or receiving a reduced score. The Department and its evaluation team for this RFP have sole discretion to determine whether a variance from the RFP specifications should result in either disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in this RFP will, at best, be considered minimally responsive. The Department seeks detailed yet succinct responses that demonstrate the Bidder's experience and ability to perform the requirements specified throughout this document.

A. PROPOSAL FORMAT

1. For clarity, the proposal should be typed or printed. Proposals should be single-spaced with 1" margins on white 8 ½" x 11" paper using a font no smaller than 12 point Times New Roman or similar.
2. All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Bidder's name should appear on every page, including Attachments. Each Attachment must reference the section or subsection number to which it corresponds.
3. Bidders are asked to be brief and to respond to each question and instruction listed in the "Proposal Submission Requirements" section of this RFP. Number each response in the proposal to correspond to the relevant question or instruction of the RFP. The proposal should be limited to a maximum total of 100 pages. Pages provided beyond the aforementioned maximum amount will not be considered during evaluation.
4. The following proposal elements, if applicable/requested, will not be counted as part of the maximum total number of pages allowed for the proposal: proposal cover page, table of contents, financial forms, any required attachments, appendices, or forms provided by the Department in the RFP, organizational charts, job descriptions, or staff résumés.
5. The Bidder may not provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Any material exceeding the proposal limit will not be considered in rating the proposals and will not be returned. Bidders shall not include brochures or other promotional material with their proposals. Additional materials will not be considered part of the proposal and will not be evaluated.
6. Include any forms provided in the application package or reproduce those forms as closely as possible.

All information should be presented in the same order and format as described in the RFP.

7. It is the responsibility of the Bidder to provide all information requested in the RFP package at the time of submission. Failure to provide information requested in this RFP may, at the discretion of the Department's evaluation review team, result in a lower rating for the incomplete sections and may result in the proposal being disqualified for consideration.
8. Bidders should complete and submit the proposal cover page provided in Appendix A of this RFP and provide it with the Bidder's proposal. The cover page must be the first page of the proposal package. It is important that the cover page show the specific information requested, including Bidder address(es) and other details listed. The proposal cover page shall be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

B. PROPOSAL CONTENTS

SECTION I ORGANIZATION QUALIFICATIONS AND EXPERIENCE

1. Description of the Organization

Present a detailed statement of qualifications and summary of relevant experience. If subcontractors are to be used, provide a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors' organizational capacity and qualifications.

2. Organizational Description and Qualifications

- a. Location of the corporate headquarters. Also, describe the current or proposed location where services will be provided or from which the contract will be managed.
- b. Attach a copy of the face page of the Bidder's general liability, professional liability and any other relevant liability insurance policies that might be associated with this contract.

3. Organizational Experience

Briefly describe the history of the Bidder's organization, especially regarding skills pertinent to the specific work required by the RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required work activities. Include similar information for any subcontractors.

4. Description of Experience with Similar Projects

- a. Provide a description of five projects that occurred with the past five years which reflect experience and expertise needed in performing the functions described in the “Scope of Services” portion of this RFP. The descriptions should highlight efforts in the following functional / technical areas as described in the scope of services section:
 - Experience with other State All Payer Claims Databases.
 - Data warehousing
 - ETL
 - Medical claims file sets and data
 - Agile projects.
 - Cloud and web serviced based architectures
- b. For each of the five examples provided, a contact person from the client organization involved should be listed, along that person’s telephone number. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.
- c. If the Bidder has not provided similar services, note this, and describe experience with projects that highlight the Bidder’s general capabilities.

SECTION II SPECIFICATIONS OF WORK TO BE PERFORMED

TECHNICAL ARCHITECTURE

1. Discuss the Scope of Services referenced above in this RFP and what the Bidder will offer. Give particular attention to describing the methods and resources you will use and how you will accomplish the tasks involved. If subcontractors are involved, clearly identify the work each will perform.
 - a. Describe the technical and physical components and tools you intend to use to support the requirements defined within this section. This includes not only infrastructure resources but also tools for software design, development, configuration management, version control and more. Indicate the viability of the proposed component(s) in terms of: market position, ability to meet requirements, alignment with industry standards, industry implementation track record and Vendor implementation track record.
 - b. Identify, if any, the third party providers, organizations or other organizational resources other

than your company that you intend to use to support these technology requirements. Indicate the nature and overall content of the contractual agreement that you plan to have with this external resource. Indicate the viability of the proposed resource(s) in terms of: market position, ability to meet requirements, alignment with industry standards and practices, industry implementation track record and Vendor implementation track record.

DATA GOVERNANCE AND MANAGEMENT

- c. Describe your data management approach, including:
 - i. data definitions and organization
 - ii. data standards that you intend to adhere to within the warehouse
 - iii. how you intend to enforce data consistency standards across the warehouse

ETL / BUSINESS RULES ENGINE

- d. Explain your approach to ETL, including:
 - i. your overall approach to business rules management (definition of rules, services provided for managing the rules, services provided by the rules, etc.)
 - ii. how your proposed solution allows for the independent management of business rules and edits (outside of the core applications or services)
 - iii. your capabilities to integrate data from various sources (internal and external) and various formats
 - iv. how your proposed solution allows for the configuration of edits / business rules into discrete sequential steps and the tracking of data submission progress through these steps
 - v. how your proposed solution supports the modification, creation and decommission of edits / business rules while in production
 - vi. the capacity (number and complexity of rules) and performance (reliability, server resources consumption, etc.) of their proposed edits / business rules management solution

SECURITY

- e. Explain how you intend to protect the privacy/confidentiality of data within the warehouse, including:
 - i. how you intend to ensure the availability of the warehouse information and functions in the context of the protections you will deploy
 - ii. how you intend to provide and manage unique identification for all warehouse customers throughout the ETL and self-service access functions. Explain how this single identity for a user or customer will be recognized throughout all functions of the warehouse available to this person. Explain how you intend to manage server to server authentication for web service functions
 - iii. how you intend to ensure that warehouse users and customers will be properly authorized to conduct activities according to their roles, responsibilities and needs
 - iv. how you intend to manage (people, procedure and tools) the assignments of roles to end user and which delegation models you plan to use if any
 - v. how you intend to monitor and audit access to the warehouse resources as well as detect and manage unauthorized access
 - vi. how you intend to protect the warehouse from malware and malicious software and how you plan to respond to threats and infections
 - vii. how you will provide encryption services for data at rest to the warehouse
 - viii. how you will provide encryption services for data in transit to the warehouse
 - ix. how you intend to provide specific physical security to the data center and its facilities

STORAGE COMPONENT

- f. Identify your proposed relational DBMS software solution. Explain briefly why and how this solution is secure, scalable and adequate for the warehouse. Include:
 - i. how you will provide disaster recovery services and built in resiliency mechanisms for the warehouse.

- ii. how you will address capacity planning in order to optimize performance on a day-to-day basis as well as ramp-up or slow down performance capacity for cyclical events, such as reporting / submission deadlines.
- iii. what types of alerts and feedback you will provide to system administrators to notify them of potential capacity limits.
- iv. what types of reports you will provide to administrators regarding trends, usage data, load balancing, and high availability.

CLOUD

- g. Briefly describe the cloud architecture that you intend to use for hosting the warehouse and supporting its operations. Include:
 - i. how you will ensure that the cloud architecture is adequate for the warehouse in terms of capacity, security (physical and technical) and level of services
 - ii. how your cloud computing infrastructure complies with the security requirements outlined above
 - iii. the operating system(s) that you propose to use for the warehouse servers. Identify additional value added component(s) (hardware or software) that will complement the operating system(s), for example load balancers, accelerators, etc.
 - iv. how MHDO would be able to transition from your cloud environment to another vendor's cloud.
 - v. the sharing model, if any, of the physical infrastructure and resources used by the warehouse with other organizations within your cloud computing infrastructure. If a sharing model is proposed, explain how you intend to provide clear segmentation between the warehouse and any other organization sharing physical resources.
 - vi. identify the physical location of your cloud computing infrastructure

WEB SERVICES AND INTEROPERABILITY

- h. Briefly list the data exchange standards and protocols supported by your proposed web services architecture (e.g., SOAP, REST) and explain how your proposed solution supports connectivity and cooperation between diverse technologies.

WEB SITE PRESENTATION

- i. Describe your presentation mechanisms, include:
 - i. your approach to providing a “separation of concerns”, e.g., Model / View / Controller architecture
 - ii. how you intend to meet legal requirements for access to those with disabilities
 - iii. how your user experience approach supports cultural diversity and easily adapts to multiple standards or preferences, including various literacy levels
 - iv. how you will gather input from diverse stakeholders in designing the warehouse’s web presence

OPERATIONS / SERVICE LEVEL AGREEMENTS

- j. Provide a brief description of your customer support services model for the warehouse, including:
 - i. an example of a Service Level Agreement (SLAs) that you intend to commit to for hosting and operating the warehouse. Explain which parts of the SLAs will be monitored and enforced with supporting technology solutions and data and which portions will not be so monitored.
 - ii. the Vendor’s approach for monitoring and reporting performance of the system during operations. Include metrics that will be tracked, frequency of reporting and access methods to these metrics.
 - iii. the Vendor’s approach for transitioning hosting to another entity at the end of the contract period, should the contract for hosting not be renewed.

PROJECT MANAGEMENT

- 2. Provide a realistic work plan for the implementation of the program through the first contract period. Display the work plan in a timeline chart. Concisely describe each program development and implementation task, the month it will be carried out and the person or position responsible for each task. If applicable, make note of all tasks to be delegated to subcontractors. Include:
 - a. your process and tools for creating and managing a common deliverables and document

repository

- b. your overall project management approach, including but not limited to planning, organizing, and managing the staff and activities throughout the life of the project, to ensure the smooth administration of the project
- c. how this approach is consistent with Agile methodology
- d. your proposed iteration cycle in terms of time and areas of focus
- e. your approach to promoting relationships, teamwork, facilitating open and timely communication, and ways your staff will support a collaborative effort amongst themselves, any subcontractors, and MHDO staff.
- f. your approach to stay informed and take early advantage of the federal guidelines, clarifications, technical advancements and other federal and state sharing opportunities during the life cycle of the warehouse.
- g. your scheduled meeting strategy between the successful Vendor and State project team, including frequency, agenda, and staff.
- h. your proposed metrics regarding major remaining stories (business cases) and periodicity for updating and evaluating these metrics.
- i. your approach, schedule and State resources needed to verify, to elaborate on and refine the functional and technical system requirements specified in this RFP. Identify concerns and risks and mitigations to the approach, given that requirements identified in the RFP may change and may need further definition as regulations and warehouse operational decisions are finalized.
- j. potential risks foreseeable to the Vendor for this engagement, rank in order of highest risk, and identify recommended steps to mitigate those risks.

CHANGE MANAGEMENT

- k. Describe your overall approach to governance of the life cycle of all warehouse services, include:
 - i. how your proposed solution allows for managing the warehouse information technology assets in terms of portfolio management and change management.

- ii. your approach for promoting approved changes from pre-production to production environment.
- iii. your process for dealing with emergency fixes. Include how these fixes will be tested and promoted through testing environments to production.
- iv. your process for providing updated documentation when warehouse upgrades to software or equipment occur.

TESTING

- I. Describe your overall approach to testing. Explain how this overall approach fits with the proposed Agile development methodology. Include:
 - i. your proposed tool and procedures for tracking, managing, and reporting system bugs discovered during testing.
 - ii. your proposed tool(s) for automated test scripting / programming.
 - iii. your approach for re-testing failed test cases after system modification and regression testing.
 - iv. your approach for testing not only system components, but for validating end user documentation and business process.
 - v. your approach to testing data backup procedures.
 - vi. your approach to volume testing to demonstrate that the warehouse and the your staff are prepared for full production.

CONVERSION

- m. Describe your approach to developing a data conversion plan and obtaining State acceptance for the plan, including:
 - i. your approach to the development of conversion procedures including software development.
 - ii. your approach for developing conversion test plans including development of test

scenarios and test data.

- iii. your approach to identifying data that must be cleaned or otherwise modified to be converted.

DEPLOYMENT

- n. Describe your approach to determining system operational readiness and describe your approach to developing a deployment plan to include specific activities and timing. Include:
 - i. your migration process and the steps needed to move or copy software from pre-production to production environments.
 - ii. your approach for notifications to external stakeholders of the warehouse functionality.
 - iii. your approach for logging, analyzing, tracking and resolving defects or anomalies identified during deployment
 - iv. your approach to developing a contingency plan for deployment.

TRAINING

- o. Describe your general approach to technical training.

STAFF

- p. Provide a project organization chart identifying by position and roles/responsibilities your key staff (down to at least the lead level), including subcontractors, responsible for carrying out the operations and maintenance of the warehouse after implementation and provide resumes for your proposed project and operations team(s).

DOCUMENTATION

- q. Provide an example of a user guide and technical documentation that you have developed for previous comparable systems. It is acceptable to redact sensitive and proprietary information.

SECTION III COST PROPOSAL

1. GENERAL INSTRUCTIONS

- a. The Bidder must submit a cost proposal that covers the entire period of the contract, including any optional renewal periods. Please use the expected contract start date of October 1, 2012 and an end date of June 30, 2022 in preparing this section.
- b. The cost proposal shall include the costs necessary for the Bidder to fully comply with the contract terms and conditions and RFP requirements.
- c. Failure to provide the requested information and to follow the required cost proposal format provided in Appendix B may result in the exclusion of the proposal from consideration, at the discretion of the Department.
- d. No costs related to the preparation of the proposal for this RFP or to the negotiation of the contract with the Department may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.

SECTION IV ECONOMIC IMPACT WITHIN THE STATE OF MAINE

In addition to all other information requested within this RFP, each Bidder must dedicate a section of its proposal to describing the Bidder's economic impact upon and within the State of Maine. The use of economic impact in making contract award decisions is required in accordance with Executive Order 2012-004, which states that "all service contracts expected to exceed \$100,000 in total value advertised for competitive bid shall include scoring criteria evaluating the responding Bidder's economic impact on the Maine economy and State revenues."

For the purposes of this RFP, the term "economic impact" shall be defined as any activity that is directly performed by or related to the Bidder and has a direct and positive impact on the Maine economy and public revenues within the State of Maine. Examples may include, but are not limited to, employment of Maine residents, subcontracting/partnering with Maine businesses, payment of State and Local taxes (such as corporate, sales, or property taxes), and the payment of State licensing fees for the Bidder's business operations.

To complete the "economic impact" section of the Bidder's proposal, the Bidder shall include no more

than one page of typed text, describing the Bidder's current, recent, or projected economic impact with the State of Maine, as defined above. The Bidder may include all details and information that it finds to be most relevant for this section.

PART V PROPOSAL EVALUATION AND SELECTION

Evaluation of the submitted proposals shall be accomplished as follows:

A. EVALUATION PROCESS - GENERAL INFORMATION

- 1.** An evaluation team, comprised of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP, and in accordance with the most advantageous cost and economic impact considerations (where applicable) for the State.
- 2.** Officials responsible for making decisions on the selection of a contractor shall ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal best satisfies the criteria of the RFP at a reasonable/competitive cost.
- 3.** MHDO reserves the right to communicate and/or schedule interviews/presentations with Bidders if needed to obtain clarification of information contained in the proposals received, and MHDO may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. MHDO reserves the right to make video or audio recordings of any applicable interview/presentation process. Interviews/presentations are not required, and changes to proposals will not be permitted during any interview/presentation process. Therefore, Bidders should submit proposals that present their costs and other requested information as clearly and completely as possible.

B. SCORING WEIGHTS AND PROCESS

- 1. Scoring Weights:** The score will be based on a 100 point scale and will measure the degree to which each proposal meets the following criteria.

Section I. Organization Qualifications and Experience (15 points)

Includes all elements addressed above in Part IV, Section I.

Section II. Specifications of Work to be Performed (50 points)

Includes all elements addressed above in Part IV, Section II.

Section III. Cost Proposal (30 points)

Includes all elements addressed above in Part IV, Section III.

Section IV. Economic Impact within the State of Maine (5 points)

Includes all elements addressed above in Part IV, Section IV.

- 2. Scoring Process:** The review team will use a consensus approach to evaluate the bids. Members of the review team will not score the proposals individually but instead will arrive at a consensus as to assignment of points on each category of each proposal. The contract award(s) will be made to the Bidder(s) receiving the highest number of evaluation points, based upon the proposals' satisfaction of the criteria established in the RFP. The Economic Impact section will also be scored using a consensus approach, with the highest number of evaluation points being assigned to the Bidder(s) with the most economic impact, actual or feasible, as determined by the evaluation team. The Cost section will be scored according to a mathematical formula described below.
- 3. Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in this RFP will be assigned a score according to a mathematical formula. The lowest bid will be awarded 30 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

$$(\text{lowest submitted cost proposal} / \text{cost of proposal being scored}) \times (30) = \text{pro-rated score}$$

No Best and Final Offers: The State of Maine will not seek a best and final offer (BAFO) from any Bidder in this procurement process. All Bidders are expected to provide their best value pricing with the submission of their proposal.

Negotiations

The Department reserves the right to negotiate with the successful Bidder to finalize a contract at the same rate or cost of service as presented in the selected proposal. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the Department's Request for Proposals to an extent that may affect the price of goods or services requested. The Department reserves the right to terminate contract negotiations with a selected respondent who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

C. SELECTION AND AWARD

1. The final decision regarding the award of the contract will be made by representatives of the Department subject to approval by the State Purchases Review Committee.
2. Notification of contractor selection or non-selection will be made in writing by the Department.
3. Issuance of this RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to this request, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
4. The Department reserves the right to reject any and all proposals or to make multiple awards.

D. APPEAL OF CONTRACT AWARDS

Any person aggrieved by the award decision that results from this RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in 5 MRSA § 1825-E and 18-554 Code of Maine Rules, Chapter 120. The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of contract award.

PART VI CONTRACT ADMINISTRATION AND CONDITIONS

A. CONTRACT DOCUMENT

1. The successful Bidder will be required to execute a contract in the form of a State of Maine Agreement to Purchase Services (BP54-EO-IT). A list of applicable Riders is as follows:

Rider A - Specifications of Work to be Performed

Rider B-IT - Payment and Other Provisions

Rider C – Exceptions to Rider B-IT

Rider D/E/F – At Department's Discretion

Rider G – Identification of Country in Which Contracted Work will be Performed

The complete set of standard BP54-EO-IT contract documents may be found on the Division of Purchases website at the following link <http://www.maine.gov/purchases/info/forms/BP54%20EO-IT.doc>

Other forms and contract documents commonly used by the State can be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms.shtml>

2. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Purchases Review Committee. Contracts are not considered fully executed and valid until approved by the State Purchases Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the Department of Administrative and Financial Services, Chapter 110, § 3(B)(i):

<http://www.maine.gov/purchases/policies/110.shtml>

This provision means that a contract cannot be effective until at least 14 days after award notification.

3. The Department estimates having a contract in place by October 1, 2012. The State recognizes, however, that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State

Purchases Review Committee. Any appeals to the Department's award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date may need to be adjusted, if necessary, to comply with mandated requirements.

4. In providing services and performing under the contract, the successful Bidder shall act independently and not as an agent of the State of Maine.

B. STANDARD STATE AGREEMENT PROVISIONS

1. Agreement Administration

- a. Following the award, an Agreement Administrator from the Department will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. Department staff will be available after the award to consult with the successful Bidder in the finalization of the contract.
- b. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

2. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from this RFP.

PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS

1. Appendix A – State of Maine Proposal Cover Page
2. Appendix B – Cost Proposal Form
3. Standard State Contract: <http://www.maine.gov/purchases/info/forms/BP54%20EO-IT.doc>
4. Agile Manifesto: <http://agilemanifesto.org/>
5. MHDO Statute: <http://www.mainelegislature.org/legis/statutes/22/title22ch1683sec0.html>
6. MHDO Rules: <http://mhdo.maine.gov/imhdo/rules.aspx>
7. Deloitte Report: http://mhdo.maine.gov/imhdo/pdf/MHDO_Assessment%20Final%2012-05-2010.pdf
8. OIT policies and procedures: <http://www.maine.gov/oit/policies/index.shtml>
9. Security requirements established by the Office of Management and Budget (OMB) in OMB Circular No. A-130, Appendix III – Security of Federal Automated Information Systems: <http://www.whitehouse.gov/omb/circulars/a130/a130.html>)
10. Federal Information Processing Standard 200 entitled “Minimum Security Requirements for Federal Information and Information Systems” (<http://csrc.nist.gov/publications/fips/fips200/FIPS-200-final-march.pdf>)
11. Special Publication 800-53 “Recommended Security Controls for Federal Information Systems” (<http://csrc.nist.gov/publications/nistpubs/800-53-Rev2/sp800-53-rev2-final.pdf>)
12. CMS Data Use Agreement: <https://www.cms.gov/Medicare/CMS-Forms/CMS-Forms/Downloads/CMS-R-0235.pdf> and associated Attachment A: http://www.resdac.org/docs/DUA%20Attachment%20A_State.pdf
13. Appendix C – Glossary of Acronyms used in this RFP

PART VIII APPENDICES

Appendix A

State of Maine

Maine Health Data Organization

PROPOSAL COVER PAGE

RFP #201207352

Health Data Warehouse

Bidder's Organization Name:		
Chief Executive - Name/Title:		
Tel:	Fax:	E-mail:
Headquarters Street Address:		
Headquarters City/State/Zip:		
<i>(provide information requested below if different from above)</i>		
Lead Point of Contact for Proposal - Name/Title:		
Tel:	Fax:	E-mail:
Street Address:		
City/State/Zip:		

Proposed Cost:	
<p><i>The proposed cost listed above is for reference purposes only, not evaluation purposes. In the event that the cost noted above does not match the Bidder's detailed cost proposal documents, then the information on the cost proposal documents will take precedence.</i></p>	

- This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
- No personnel currently employed by the Department or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder's proposal.
- No attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a proposal.
- The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.

To the best of my knowledge all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.

Authorized Signature

Date

Name and Title (Typed)

State of Maine
Maine Health Data Organization
COST PROPOSAL FORM
RFP #201207352
Health Data Warehouse

Note: The cost proposal must be quoted on the bidder's total all inclusive maximum cost for the scope of work described in the request for proposal. For example all licensing and support costs must be included in the total all inclusive maximum price.

Bidder's Organization Name: _____

Phase	Contract Period	Description	Cost Proposal
1	October 1, 2012-June 30, 2014	Refer to Part 2 for Scope of Services	
2	July 1, 2014-June 30, 2015		
3	July 1, 2015-June 30, 2016		
4	July 1, 2016-June 30, 2017		
5	July 1, 2017-June 30, 2018		
6	July 1, 2018-June 30, 2019	Operations	
7	July 1, 2019-June 30, 2020	Operations	
8	July 1, 2020-June 30, 2021	Operations	
9	July 1, 2021-June 30, 2022	Operations	
Total Cost			

GLOSSARY OF ACRONYMS

3DES - Triple Data Encryption Algorithm - (TDEA or Triple DEA) block cipher, which applies the Data Encryption Standard (DES) cipher algorithm three times to each data block.

APCD – All Payer Claims Database

CMS – Centers for Medicare and Medicaid Services

COTS – Commercial off the Shelf

CPT – Current Procedural Terminology – a code set describing medical, surgical, and diagnostic services.

DUA – Data Use Agreement

ERD – Enterprise Relationship Diagram - an abstract and conceptual representation of a relational database

ETL – Extract, Transform, and Load

FOAA – Maine Freedom of Access Act

GUI – Graphical User Interface - a type of user interface that allows users to interact with electronic devices using images rather than text commands

MHDO – Maine Health Data Organization

ICD-9 - International Classification of Diseases - a health care classification system that provides codes to classify diseases and a wide variety of signs, symptoms, abnormal findings, complaints, social circumstances, and external causes of injury or disease.

REST - Representational State Transfer (REST) - a protocol specification for exchanging structured information in the implementation of Web Services in computer networks.

SHA-1 - secure hash algorithm - a cryptographic hash function designed by the United States National Security Agency and published by the United States NIST as a U.S. Federal Information Processing Standard.

SOAP - Simple Object Access Protocol - a protocol specification for exchanging structured information in the implementation of Web Services in computer networks.

XML – Extensible Markup Language (XML) - a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable. It is defined in the XML 1.0 Specification produced by the W3C.